

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview

1. **Date of Submission:** 2010-09-17
2. **Agency:** 018
3. **Bureau:** 45
4. **Name of this Investment:** Person Record Management System (PRMS) A
5. **Unique Project (Investment) Identifier (UPI):** 018-45-01-04-01-3118-00
6. **What kind of investment will this be in FY 2012?:** Full Acquisition
  - Planning
  - Full Acquisition
  - Operations and Maintenance
  - Mixed Life Cycle
  - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2009

8.
  - a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

The PRMS project is a multi-year, multi-phased effort to improve data quality and standardization across FSA for managing person identity data centrally and integrating with other FSA applications for maintaining data consistency. Person data includes all persons who have interaction with FSA, including but not limited to, applicants, borrowers, grant recipients, and financial aid administrators. The solution will provide the capability to uniquely identify persons who interact with FSA, while protecting their privacy and managing their history. The project will be divided into three phases: Phase I - Support the implementation of the Person Authentication Service (PAS) to include developing an interface with PAS and providing results on if a person has been authenticated with the Social Security Administration (SSA) through an interface with the existing source of this information Phase II - Integrate the legacy system to support using the Federal Student Aid Account Number (FAN) and supporting the interfaces of all systems to provide person data as updates and to provide updates to other systems Phase III - Implement a real-time match with SSA This solution when complete will : - Provide a single authoritative source for managing identity data for all people of Federal Student Aid. -- Provide data synchronization services to FSA systems when changes to Person data occur.

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.
  - a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**  
2010-08-26
  - b. **Provide the date of the most recent or planned approved project charter.** 2010-08-30

**10. Contact information?**

- a. **Program/Project Manager Name:** \*  
**Phone Number:** \*  
**Email:** \*
- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Sue Szabo  
**Phone Number:** \*  
**Email:** \*

**11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding  
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

**Table I.B.1: Summary of Funding**  
**(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 1

3. Insert the number of years covered in the column “BY+4 and beyond”: \*

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
-----------------	-----------------------	--	--	-----------------	-----------------------	--------------	-----------------------------	---------------------------------------	---	----------------	--	------------------	----------------------------------

NONE

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow \*
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 \*
- c. Was the Acquisition Plan approved in accordance with agency requirements \*
- d. If "yes," enter the date of approval? \*
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? \*
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? \*
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

\*

## Part II: IT Capital Investments

### Section A: General

1.
  - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
  - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. Federal Student Aid utilizes a cloud provided by the Virtual Data Center in Plano, Texas to host its major systems.
3. Provide the date of the most recent or planned Quality Assurance Plan 2011-06-01
4.
  - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 018-45-01-04-01-3135-00
  - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2009-07-24
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2010-08-30

## Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
FY 2010 - PRMS (Development) using FY09 funds	DME	*	\$0.5	\$0.5	2009-10-01	2009-09-23	2010-03-23	2010-03-23	100.00%	100.00%
FY2011 - PRMS (Development)	DME	*	\$8.0	\$0.0	2011-04-01		2011-09-30		0.00%	0.00%
FY 2013 PRMS DME	DME	*	*	*	2013-09-30	*	2014-09-30	*	*	*
FY 2014 DME	DME	*	*	*	2014-09-30	*	2015-09-30	*	*	*
FY 2014 PRMS O&M	SS	*	*	*	2014-09-30	*	2015-09-30	*	*	*
FY 2015 PRMS DME	DME	*	*	*	2015-09-30	*	2016-09-30	*	*	*
FY 2015 PRMS O&M	SS	*	*	*	2015-09-30	*	2016-09-30	*	*	*
FY 2016 PRMS O&M	SS	*	*	*	2016-09-30	*	2017-09-30	*	*	*
FY 2017 PRMS O&M	SS	*	*	*	2017-09-30	*	2018-09-30	*	*	*
FY 2018 PRMS O&M	SS	*	*	*	2018-09-30	*	2019-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation? no





Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding

\*

\*

\*

\*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

## Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Customer Results	Customer Satisfaction	Customer satisfaction with PRMS	annual	% of satisfaction	Increasing	Sampling has 70% fully satisfied	2009-10-09
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	Sampling has 70% fully satisfied	System was not developed and deployed, so no actual results are available.	Not Met	2011-02-24
Technology	Internal Data Sharing	Number of applications pulling data for use.	annual	number of applications	integration of data extracted from applications	0%	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	1%	System has not been developed and deployed. No actual results.	Not Met	2011-02-24
Technology	Internal Data Sharing	Number of applications pulling data for use.	annual	number of applications	increasing	0	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	One major application.			2011-02-24
Technology	Internal Data Sharing	Number of applications pulling data for use.	annual	Number of applications.	increasing	0	2010-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	2 additional applications (total of three).			2011-02-24

Mission and Business Results	Integration	Number of Major Applications that have adopted the use of PRMS.	annual	number of systems.	increasing	0	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	One major application			2011-02-24
Mission and Business Results	Integration	Number of Major Applications that have adopted the use of PRMS.	annual	Number of major applications.	Increasing	0	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	2 additional major systems.		Not Due	2011-02-24
Mission and Business Results	Integration	Number of Major Applications that have adopted the use of PRMS. (PRMS)	annual	number of applications	progress until the major app fully developed, tested, and compliant with requirements set forth in contract.	0%	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2010	1 major application	under development	Not Met	2010-09-17
Processes and Activities	User Requirements	Percentage of Requirements artifacts completed per the Requirements Management Plan for PRMS	annual	number of artifacts	increasing number of artifacts until all artifacts under SOW delivered; modifications as needed.	0%	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

			2010	90% of artifacts as identified as appropriate for the current stage or phase	100% delivered; 03/25/2010	Met	2010-09-17
Processes and Activities	User Requirements	Percentage of Requirements artifacts completed per the Requirements Management Plan for PRMS.	annual	Percent of requirements.	increasing	0	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	90%			2011-02-24
Processes and Activities	User Requirements	Percentage of Requirements artifacts completed per the Requirements Management Plan for PRMS.	annual	Percent of requirements.	increasing	0	2009-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	95%			2011-02-24

\* - Indicates data is redacted.